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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

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AUG 07 2001

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Patent application of:

Harish C. Joshi, Keqiang Ye,
Judith Kapp, and Fuqiang Liu

Serial No.: 09/582,375

Group Art Unit: 1614

Filed: September 26, 2000

Examiner:

For: NOSCAPINE DERIVATIVES,
USEFUL AS ANTICANCER
AGENTS

Assistant Director for Patents
Office of Initial Patent Examination
Customer Service Center
Washington, D.C. 20231

Attorney Docket No. emu144; e2690/199298
Date: 3/29/01

REQUEST FOR ISSUANCE OF A CORRECTED FILING RECEIPT

Sir:

Applicants respectfully request issuance of a corrected filing receipt in the above-identified patent application making the following corrections.

Kindly correct the name of the second inventor. The inventor's first given name is --Keqiang--. The inventor's family name is --Ye--. Enclosed are copies of the first page of the published PCT application and the executed Combined Declaration for Patent Application confirming the correct name.

Kindly add the fourth inventor --Fuqiang Liu--. See the enclosed copy of the executed Combined Declaration and Power of Attorney.

Kindly add under the continuing data section that PCT/US98/14979 claims priority to U.S. Provisional Application No. 60/057,037. See the enclosed copies of the executed Combined Declaration and Power of Attorney and published PCT application.

Respectfully requested,

Bruce D. Gray
Reg. No. 35,799

Date: 3/29/01
KILPATRICK STOCKTON LLP
Suite 2800
1100 Peachtree Street
Atlanta, Georgia 30309-4530
(404) 815-6218



PCT

WORLD INTELLECTUAL PROPERTY ORGANIZATION
International Bureau



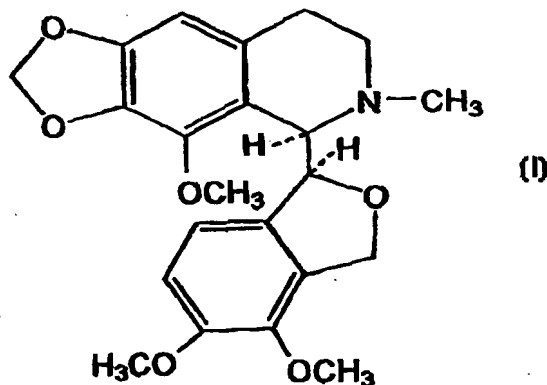
INTERNATIONAL APPLICATION PUBLISHED UNDER THE PATENT COOPERATION TREATY (PCT)

(51) International Patent Classification 6 : A01N 43/40, 43/42, C07D 455/04		A1	(11) International Publication Number: WO 99/08528
			(43) International Publication Date: 25 February 1999 (25.02.99)
(21) International Application Number: PCT/US98/14979		(81) Designated States: AU, CA, JP, US, European patent (AT, BE, CH, CY, DE, DK, ES, FI, FR, GB, GR, IE, IT, LU, MC, NL, PT, SE).	
(22) International Filing Date: 20 July 1998 (20.07.98)			
(30) Priority Data: 60/057,037 19 August 1997 (19.08.97) US		Published <i>With international search report. Before the expiration of the time limit for amending the claims and to be republished in the event of the receipt of amendments.</i>	
(71) Applicant (for all designated States except US): EMORY UNIVERSITY [US/US]; 1380 South Oxford Road, Atlanta, GA 30322 (US).			
(72) Inventors; and (75) Inventors/Applicants (for US only): JOSHI, Harish, C. [US/US]; 1433 Oak Grove Drive, Decatur, GA 30333 (US). YE, Keqiang [CN/US]; Apartment N12, 2628 Northeast Expressway, Atlanta, GA 30345 (US). KAPP, Judith [US/US]; 411 Chelsea Circle, Atlanta, GA 30307 (US).			
(74) Agents: PRATT, John, S. et al.; Kilpatrick Stockton LLP, Suite 2800, 1100 Peachtree Street, Atlanta, GA 30309-4530 (US).			

(54) Title: NOSCAPINE DERIVATIVES, USEFUL AS ANTICANCER AGENTS

(57) Abstract

Compounds such as formula (I) are useful in the treatment of tumor cells and the treatment of cancer.



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COMBINED DECLARATION FOR PATENT APPLICATION AND POWER OF ATTORNEY
(Includes Reference to PCT International Applications)

ATTORNEY'S DOCKET NUMBER
EMU144NAT

As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name.

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled:

Noscapine Derivatives, Useful as Anticancer Agents

the specification of which (check only one item below):

- ☐ is attached hereto
- ☐ was filed as United States application
Serial No. _____
on _____
and was amended
on _____ (if applicable).
- ☒ was filed as PCT international application
Number PCT/US98/14979 on 20 July 1998,
and was amended under PCT Article 19
on _____ (if applicable).

I hereby state that I have reviewed and understand the contents of the above-identified specification, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose information which is material to the patentability of this application in accordance with Title 37, Code of Federal Regulations, §1.56(a).

I hereby claim foreign priority benefits under Title 35, United State code, §119 of any foreign application(s) for patent or inventor's certificate or of any PCT international application(s) designating at least one country other than the United States of America listed below and have also identified below any foreign application(s) for patent or inventor's certificate or any PCT international application(s) designating at least one country other than the United States of America filed by me on the same subject matter having a filing date before that of the application(s) of which priority is claimed:

PRIOR FOREIGN/PCT APPLICATION(S) AND ANY PRIORITY CLAIMS UNDER 35 U.S.C. 119:

COUNTRY (of PCT indicate "PCT")	APPLICATION NUMBER	DATE OF FILING (day, month, year)	PRIORITY CLAIMED UNDER 35 USC 119	
			<input type="checkbox"/> YES	<input type="checkbox"/> NO
			<input type="checkbox"/> YES	<input type="checkbox"/> NO
			<input type="checkbox"/> YES	<input type="checkbox"/> NO
			<input type="checkbox"/> YES	<input type="checkbox"/> NO
			<input type="checkbox"/> YES	<input type="checkbox"/> NO

PTO 1391 (rev 10 83)

Page 1 of 3

US DEPARTMENT OF COMMERCE Patent and Trademark Office

(Combined Declaration For Patent Application and Power of Attorney --PTO 1391 [13-11]--page 1 of 2)

639632

COMBINED DECLARATION FOR PATENT APPLICATION AND POWER OF ATTORNEY

COMBINED DECLARATION FOR PATENT APPLICATION AND POWER OF ATTORNEY (CONTINUED)
(Includes Reference to PCT International Applications)

ATTORNEY DOCKET NUMBER

EMU144NAT

I hereby claim the benefit under Title 35, United States Code, §120 of any United States application(s) or PCT international application(s) designating the United States of America that is/are listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in that/those prior application(s) in the manner provided by the first paragraph of Title 35, United States Code, §112, I acknowledge the duty to disclose material information as defined in Title 37, Code of Federal Regulations, §1.56(a) which occurred between the filing date of the prior application(s) and the national or PCT international filing date of this application:

PREVIOUS U.S. APPLICATIONS OR PCT INTERNATIONAL APPLICATIONS DESIGNATING THE U.S. FOR BENEFIT UNDER 35 U.S.C. 120:

U.S. APPLICATIONS		STATUS (Check One)		
U.S. APPLICATION NUMBER	U.S. FILING DATE	PATENTED	PENDING	ABANDONED
60/057,037	19 August 1997 (19.08.97)			X
PCT APPLICATIONS DESIGNATING THE U.S.				
PCT APPLICATION NO	PCT FILING DATE	U.S. SERIAL NUMBERS ASSIGNED (if any)		

POWER OF ATTORNEY: As a named inventor, I hereby appoint the following attorney(s) and/or agent(s) to prosecute this application and transact all business in the Patent and Trademark Office connected therewith. (List name and registration number) Charles Y. Lackey 22,707; John M. Harrington 25,592; John S. Pratt 29,476; A. Jose Cortina 29,733; James L. Ewing, IV 30,630; Charles W. Calkins 31,814; George T. Marcou 33,014; Dean W. Russell 33,452; Richard T. Peterson 35,320; Charles T. Simmons 35,359; Nora M. Tocups 35,717; Bruce D. Gray 35,799; Theodore R. Harper 35,890; Kristin L. Johnson 44,807; Geoff L. Sutcliffe 36,348; Pat Winston Kennedy 36,970; Mitchell G. Stockwell 39,389; Michael J. Turton 40,852; Yoncha L. Kundupoglu 41,130; Benjamin D. Driscoll 41,571; Wilburn L. Chesser 41,668; Alana G. Kriegsman 41,747; J. Steven Gardner 41,772; James J. Bindseil 42,326; Richard H. Lilley 42,803; Edwina Thomas Washington 43,187; Camilla Camp Williams 43,992; Carl B. Massey P44,224; R. Whitney Winston P44,432; John William Ball, Jr. P44,433

Send Correspondence to: John S. Pratt, Esq.

Kilpatrick Stockton LLP
1100 Peachtree Street, Suite 2800
Atlanta, GA 30309-4530

Direct Telephone Calls to: (name and telephone number)
Bruce D. Gray
(404) 815-6218

2	FULL NAME OF INVENTOR	FAMILY NAME	FIRST GIVEN NAME	SECOND GIVEN NAME
0	RESIDENCE & CITIZENSHIP	CITY	STATE OR FOREIGN COUNTRY	COUNTRY OF CITIZENSHIP
1	POST OFFICE ADDRESS	POST OFFICE ADDRESS	CITY	STATE & ZIP CODE/COUNTRY
2	FULL NAME OF INVENTOR	FAMILY NAME	FIRST GIVEN NAME	SECOND GIVEN NAME
0	RESIDENCE & CITIZENSHIP	CITY	STATE OR FOREIGN COUNTRY	COUNTRY OF CITIZENSHIP
2	POST OFFICE ADDRESS	POST OFFICE ADDRESS	CITY	STATE & ZIP CODE/COUNTRY

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under section 1001 of Title 18 of the United States Code, and that such willful false statement may jeopardize the validity of the application or any patent issuing thereon.

SIGNATURE OF INVENTOR 201

Harish C. Joshi

DATE

8/28/2000

SIGNATURE OF INVENTOR 202

Keqiang Ye

DATE

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KS

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PCT APPLICATION AND POWER OF ATTORNEY (CONTINUED)
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AUTOREV. POWER OF ATTORNEY

BMU144NAT

I hereby claim the benefit under Title 35, United States Code, §120 of any United States application(s) or PCT international application(s) designating the United States of America that is/are listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in that/those prior application(s) in the manner provided by the first paragraph of Title 35, United States Code, §112, I acknowledge the duty to disclose material information as defined in Title 37, Code of Federal Regulations, §1.56(a) which occurred between the filing date of the prior application(s) and the national or PCT international filing date of this application:

PRIOR U.S. APPLICATIONS OR PCT INTERNATIONAL APPLICATIONS DESIGNATING THE U.S. FOR BENEFIT UNDER 35 U.S.C. 120:

U.S. APPLICATIONS

U.S. APPLICATION NUMBER	U.S. FILING DATE	STATUS (Check One)		
60/057,037	19 August 1997 (19.08.97)	PATENTED	PENDING	ABANDONED
				<input checked="" type="checkbox"/>

PCT APPLICATIONS DESIGNATING THE U.S.

PCT APPLICATION NO	PCT FILING DATE	U.S. SERIAL NUMBERS ASSIGNED (if any)

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Send Correspondence to: John S. Pratt, Esq.

Kilpatrick Stockton LLP
1100 Peachtree Street, Suite 2800
Atlanta, GA 30309-4530

Direct Telephone Calls to: (name and telephone number)

Bruce D. Gray
(404) 815-6218

2	FULL NAME OF INVENTOR	FAMILY NAME	FIRST GIVEN NAME	STATE OR FOREIGN COUNTRY	COUNTRY OF CITIZENSHIP
1	RESIDENCE & CITIZENSHIP	CITY	STATE OR FOREIGN COUNTRY	CITY	STATE & ZIP CODE/COUNTRY
1	POST OFFICE ADDRESS	POST OFFICE ADDRESS	CITY	CITY	COUNTRY OF CITIZENSHIP
2	FULL NAME OF INVENTOR	FAMILY NAME	FIRST GIVEN NAME	STATE OR FOREIGN COUNTRY	COUNTRY OF CITIZENSHIP
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I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under section 1001 of Title 18 of the United States Code, and that such willful false statement may jeopardize the validity of the application or any patent issuing thereon.

SIGNATURE OF INVENTOR 101

Harish C. Joshi

DATE

SIGNATURE OF INVENTOR 102

Keqiang Ye

DATE

Page 2 of 3

US DEPARTMENT OF COMMERCE Patent and Trademark

639632

CONTINUED DECLARATION FOR PATENT APPLICATION AND POWER OF ATTORNEY

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COMBINED DECLARATION FOR PATENT APPLICATION AND POWER OF ATTORNEY (CONTINUED)
(Includes Reference to PCT International Applications)

ATTORNEY DOCKET NUMBER

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U.S. APPLICATION NUMBER	U.S. FILING DATE	PATENTED	PENDING	ABANDONED
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1100 Peachtree Street, Suite 2800
Atlanta, GA 30309-4530

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Bruce D. Gray
(404) 815-6218

2	FULL NAME OF INVENTOR	FAMILY NAME	FIRST GIVEN NAME	SECOND GIVEN NAME
0	RESIDENCE & CITIZENSHIP	CITY	STATE OR FOREIGN COUNTRY	COUNTRY OF CITIZENSHIP
1	POST OFFICE ADDRESS	POST OFFICE ADDRESS	CITY	STATE & ZIP CODE/COUNTRY
2	FULL NAME OF INVENTOR	FAMILY NAME	FIRST GIVEN NAME	SECOND GIVEN NAME
0	RESIDENCE & CITIZENSHIP	CITY	STATE OR FOREIGN COUNTRY	COUNTRY OF CITIZENSHIP
2	POST OFFICE ADDRESS	POST OFFICE ADDRESS	CITY	STATE & ZIP CODE/COUNTRY

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SIGNATURE OF INVENTOR 201

Judith Kapp

DATE

3/14/00

SIGNATURE OF INVENTOR 202

Fuqiang Liu

DATE

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COMBINED DECLARATION FOR PATENT APPLICATION AND POWER OF ATTORNEY

JIPE JC152
 APR 06 2001
 TRADEMARK OFFICE

COMBINED DECLARATION FOR PATENT APPLICATION AND POWER OF ATTORNEY (CONTINUED) (Includes Reference to PCT International Applications)				ATTORNEY DOCKET NUMBER EMU144NAT	
I hereby claim the benefit under Title 35, United States Code, §120 of any United States application(s) or PCT international application(s) designating the United States of America that is/are listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in that/those prior application(s) in the manner provided by the first paragraph of Title 35, United States Code, §112, I acknowledge the duty to disclose material information as defined in Title 37, Code of Federal Regulations, §1.56(a) which occurred between the filing date of the prior application(s) and the national or PCT international filing date of this application:					
PRIOR U.S. APPLICATIONS OR PCT INTERNATIONAL APPLICATIONS DESIGNATING THE U.S. FOR BENEFIT UNDER 35 U.S.C. 120:					
U.S. APPLICATIONS			STATUS (Check One)		
U.S. APPLICATION NUMBER	U.S. FILING DATE	PATENTED	PENDING	ABANDONED	
60/057,037	19 August 1997 (19.08.97)			x	
PCT APPLICATIONS DESIGNATING THE U.S.					
PCT APPLICATION NO	PCT FILING DATE	U.S. SERIAL NUMBERS ASSIGNED (if any)			
POWER OF ATTORNEY: As a named inventor, I hereby appoint the following attorney(s) and/or agent(s) to prosecute this application and transact all business in the Patent and Trademark Office connected therewith. (<i>List name and registration number</i>) Charles Y. Lackey 22,707; John M. Harrington 25,592; John S. Pratt 29,476; A. Jose Cortina 29,733; James L. Ewing, IV 30,630; Charles W. Calkins 31,814; George T. Marcou 33,014; Dean W. Russell 33,452; Richard T. Peterson 35,320; Charles T. Simmons 35,359; Nora M. Tocups 35,717; Bruce D. Gray 35,799; Theodore R. Harper 35,890; Kristin L. Johnson 44,807; Geoff L. Sutcliffe 36,348; Pat Winston Kennedy 36,970; Mitchell G. Stockwell 39,389; Michael J. Turton 40,852; Yoncha L. Kundupoglu 41,130; Benjamin D. Driscoll 41,571; Wilburn L. Chesser 41,668; Alana G. Kriegsman 41,747; J. Steven Gardner 41,772; James J. Bindseil 42,326; Richard H. Lilley 42,803; Edwina Thomas Washington 43,187; Camilla Camp Williams 43,992; Carl B. Massey P44,224; R. Whitney Winston P44,432; John William Ball, Jr. P44,433					
Send Correspondence to: John S. Pratt, Esq. Kilpatrick Stockton LLP 1100 Peachtree Street, Suite 2800 Atlanta, GA 30309-4530			Direct Telephone Calls to: (<i>name and telephone number</i>) Bruce D. Gray (404) 815-6218		
2	FULL NAME OF INVENTOR Kapp	FAMILY NAME Judith	FIRST GIVEN NAME Judith	SECOND GIVEN NAME	
0	RESIDENCE & CITIZENSHIP Atlanta	CITY Atlanta	STATE OR FOREIGN COUNTRY Georgia	COUNTRY OF CITIZENSHIP US	
1	POST OFFICE ADDRESS 411 Chelsea Circle	POST OFFICE ADDRESS 411 Chelsea Circle	CITY Atlanta	STATE & ZIP CODE/COUNTRY Georgia 30307 USA	
2	FULL NAME OF INVENTOR Liu	FAMILY NAME Fuqiang	FIRST GIVEN NAME Fuqiang	SECOND GIVEN NAME	
0	RESIDENCE & CITIZENSHIP Piscataway	CITY Piscataway	STATE OR FOREIGN COUNTRY New Jersey	COUNTRY OF CITIZENSHIP China	
2	POST OFFICE ADDRESS 23 Marvin Lane	POST OFFICE ADDRESS 23 Marvin Lane	CITY Piscataway	STATE & ZIP CODE/COUNTRY New Jersey 08854 USA	
I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under section 1001 of Title 18 of the United States Code, and that such willful false statement may jeopardize the validity of the application or any patent issuing thereon.					
SIGNATURE OF INVENTOR 201 Judith Kapp		SIGNATURE OF INVENTOR 202 Fuqiang Liu			
DATE		DATE March 30, 2000			

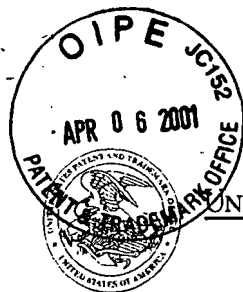
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 UNITED STATES PATENT AND TRADEMARK OFFICE
 WASHINGTON, D.C. 20231
 www.uspto.gov

APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTY.DOCKET.NO	DRAWINGS	TOT CLAIMS	IND CLAIMS
09/582,375	09/26/2000	1614	217	EMU144NAT		4	4

FILING RECEIPT



OC000000005563583

John S Pratt
 Kilpatrick Stockton
 Suite 2800
 1100 Peachtree Street
 Atlanta, GA 30309-4530

Date Mailed: 11/17/2000

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the PTO processes the reply to the Notice, the PTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

Applicant(s)

Harish C. Joshi, Decatur, GA ;
 KEQIANG YE → Ye Keqiang, Baltimore, MD ;
 Judith Kapp, Atlanta, GA ;
 FUBIANG LIU

Continuing Data as Claimed by Applicant

THIS APPLICATION IS A 371 OF PCT/US98/14979 07/20/1998

Foreign Applications

If Required, Foreign Filing License Granted 11/17/2000

** SMALL ENTITY **

Title

Noscapine derivatives, useful as anticancer agents

Preliminary Class

514

Data entry by : ORDENEZ, MARTA

Team : OIPE

Date: 11/17/2000



**LICENSE FOR FOREIGN FILING UNDER
Title 35, United States Code, Section 184
Title 37, Code of Federal Regulations, 5.11 & 5.15**

GRANTED

The applicant has been granted a license under 35 U.S.C. 184, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" followed by a date appears on this form. Such licenses are issued in all applications where the conditions for issuance of a license have been met, regardless of whether or not a license may be required as set forth in 37 CFR 5.15. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The date indicated is the effective date of the license, unless an earlier license of similar scope has been granted under 37 CFR 5.13 or 5.14.

This license is to be retained by the licensee and may be used at any time on or after the effective date thereof unless it is revoked. This license is automatically transferred to any related applications(s) filed under 36 CFR 1.53(d). This license is not retroactive.

The grant of a license does not in any way lessen the responsibility of a licensee for the security of the subject matter as imposed by any Government contract or the provisions of existing laws relating to espionage and the national security or the export of technical data. Licensees should apprise themselves of current regulations especially with respect to certain countries, of other agencies, particularly the Office of Defense Trade Controls, Department of State (with respect to Arms, Munitions and Implements of War (22 CFR 121-128)); the Office of Export Administration, Department of Commerce (15 CFR 370.10 (j)); the Office of Foreign Assets Control, Department of Treasury (31 CFR Parts 500+) and the Department of Energy.

NOT GRANTED

No license under 35 U.S.C. 184 has been granted at this time, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" DOES NOT appear on this form. Applicant may still petition for a license under 37 CFR 5.12, if a license is desired before the expiration of 6 months from the filing date of the application. If 6 months has lapsed from the filing date of this application and the licensee has not received any indication of a secrecy order under 35 U.S.C. 181, the licensee may foreign file the application, pursuant to 37 CFR 5.15 (b).

PLEASE NOTE the following information about the Filing Receipt:

- The articles such as "a," "an" and "the" are not included as the first words in the title of an application. They are considered to be unnecessary to the understanding of the title.
- The words "new," "improved," "improvements in" or "relating to" are not included as first words in the title of an application because a patent application, by nature, is a new idea or improvement.
- The title may be truncated if it consists of more than 600 characters (letters and spaces combined).
- The docket number allows a maximum of 25 characters.
- If your application was submitted under 37 CFR 1.10, your filing date should be the "date in" found on the Express Mail label. If there is a discrepancy, you should submit a request for a corrected Filing Receipt along with a copy of the Express Mail label showing the "date in."
- The title is recorded in sentence case.

Any corrections that may need to be done to your Filing Receipt should be directed to:

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Customer Service Center
Washington, DC 20231